Docket No.: <u>HME/D-0010B</u> <u>PATENT</u>

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

: Hung-Jin KIM :

Divisional of Serial No. 10/196,126

:

:

Filed: September 2, 2003

:

Customer No.: 34610

10.: 34610 :

For::

NON-VOLATILE SEMICONDUCTOR MEMORY DEVICE AND FABRICATING

METHOD THEREOF

## INFORMATION DISCLOSURE STATEMENT

U.S. Patent and Trademark Office 2011 South Clark Place Customer Window Crystal Plaza Two, Lobby, Room 1B03 Arlington, Virginia 22202

Sir:

Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference listed on the attached PTO-1449. One copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the reference be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the indicated date. Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered. This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that was cited or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. §120. 1138 OG 37, 38 (May 19, 1992).

- This Information Disclosure Statement is being filed within three months of the U.S. filing date
  OR before the mailing date of a first Office Action on the merits. No certification or fee is required.
- 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.
  - a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1).
  - b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated

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in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2).

- c. Attached is our check no. \_\_\_\_\_ in the amount of \$240.00 in payment of the fee under 37 C.F.R. 1.17(p). Please credit or debit Deposit Account No. 16-0607 as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but on or before payment of the Issue Fee. It is hereby requested that the Information Disclosure Statement be considered. Attached is our check no. \_\_\_\_ in the amount of \$130.00 in payment of the fee under 37 C.F.R. 1.17(i)(1). Please credit or debit Deposit Account No. 16-0607 as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
  - a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1).
  - b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2).
- 4. Copies of the references were cited by or submitted to the Office in parent application No. 09/863,448, filed May 24, 2001, which is relied upon for an earlier filing date under 35 U.S.C. §120. Thus, copies of these references are not attached. 37 C.F.R. §1.98(d).
- X 5. To the extent necessary, a petition for an extension of time under 37 C.F.R. 1.136 is hereby made. Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account 16-0607 and please credit any excess fees to such deposit account.

Respectfully submitted,

Daniel Y.J. Kim Registration No. 36,186 Mark E. Olds Registration No. 46,507

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Please direct all correspondence to Customer Number 34610

## ATTY. DOCKET NO. DIV of SERIAL NO. HME/D-0010B 10/196,126 LIST OF PRIOR ART CITED BY APPLICANT(S) **APPLICANT** Hung-Jin KIM CUSTOMER NO. 34610 (PTO-1449) GROUP FILING DATE September 2, 2003 N/A U.S. PATENT DOCUMENTS EXAMINER'S \*ISSUE FILING INITIALS \*PATENT NO DATE \*INVENTOR NAME CLASS **SUBCLASS** DATE 5,963,480 10/1999 Нагагі 365 185.29 5,683,923 11/1997 Shimizu et al. 5,970,342 10/1999 Shye-Lin Wu 438 260 U.S. PATENT APPLICATION PUBLICATIONS \*PATENT APPLN. PUB. NO. \*PUB. \*APPLICANT SUBCLASS CLASS DATE **U.S. PATENT APPLICATIONS** \*FILING \*APPLN. NO. DATE \*INVENTOR CLASS SUBCLASS **FOREIGN PATENT DOCUMENTS** EXAMINER'S INITIALS Translation PATENT NO. DATE COUNTRY CLASS SUBCLASS Yes No 02-025076 3/21/02 Japan OTHER ART (Including Author, Title, Date, Pertinent Pages, Publisher, Place of Publication, Etc.) **EXAMINER** DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.